

<b>Examiner-Initiated Interview Summary</b>	<b>Application No.</b>	<b>Applicant(s)</b>
	09/536,258	GASTINEAU ET AL.
	<b>Examiner</b>	<b>Art Unit</b>
	Debra F. Charles	3628

**All Participants:**

**Status of Application:** pending

(1) Debra F. Charles.

(3) Michael J. Stimson, 45429.

(2) Sam Sough.

(4) Charles A. Baker.

**Date of Interview:** 12 November 2004

**Time:** 2pm

**Type of Interview:**

Telephonic  
 Video Conference  
 Personal (Copy given to:  Applicant  Applicant's representative)

**Exhibit Shown or Demonstrated:**  Yes  No

If Yes, provide a brief description:

**Part I.**

Rejection(s) discussed:

Claims discussed:

1

Prior art documents discussed:

*Press releases from the M2 Presswire, New York Times, Wall Street Journal.*

**Part II.**

**SUBSTANCE OF INTERVIEW DESCRIBING THE GENERAL NATURE OF WHAT WAS DISCUSSED:**

See Continuation Sheet

**Part III.**

It is not necessary for applicant to provide a separate record of the substance of the interview, since the interview directly resulted in the allowance of the application. The examiner will provide a written summary of the substance of the interview in the Notice of Allowability.

It is not necessary for applicant to provide a separate record of the substance of the interview, since the interview did not result in resolution of all issues. A brief summary by the examiner appears in Part II above.



(Examiner/SRE Signature)

(Applicant/Applicant's Representative Signature – if appropriate)

Continuation of Substance of Interview including description of the general nature of what was discussed: Attny and applicant gave a presentation on actively-managed exchanged traded funds. Examiner will do a search on the transparency issues and creating a hedge portfolio via the modeling process in addition to investing SEC rulings that may apply to the invention..